

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 2-2005)

ATTORNEY'S DOCKET NUMBER

FUJ-0001

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/550805

INTERNATIONAL APPLICATION NO.
PCT/JP2004/003638

INTERNATIONAL FILING DATE
18 MARCH 2004

PRIORITY DATE CLAIMED
24 MARCH 2003

TITLE OF INVENTION

METHOD FOR FORMING AN INSULATING FILM IN A SEMICONDUCTOR DEVICE

APPLICANT(S) FOR DO/EO/US

Tominaga Koji; Yasuda Tetsuji; Nabatame Toshihide; Iwamoto Kunihiko


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV543403345US
23. ☒ Other items or information:

Formal Drawings (9 sheets); Form PTO-1449; Copies of (6) Cited References; Claim for Priority; Certificate of Mailing; Post Card Receipt

| | | | | | |
|--|--------------|--|------|--|----------------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/550805 | | INTERNATIONAL APPLICATION NO. PCT/JP2004/003638 | | ATTORNEY'S DOCKET NUMBER FUJ-0001 | |
| The following fees are submitted: | | | | CALCULATIONS | PTO USE |
| 24. <input checked="" type="checkbox"/> Basic national fee | | \$300 | | \$300.00 | |
| 25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). | | \$100 | | \$200.00 | |
| All other situations. | | \$200 | | | |
| 26. <input checked="" type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority | | \$100 | | | |
| International Search Report prepared and provided to the Office | | \$400 | | | |
| All other situations. | | \$500 | | \$500.00 | |
| TOTAL OF 24, 25 and 26 = | | | | \$1,000.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | | RATE | |
| 37 - 100 = | 0 /50 = | 0 | | x \$250.00 | \$0.00 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 7 - 20 = | 0 | x | \$50.00 | \$0.00 |
| Independent claims | 1 - 3 = | 0 | x | \$200.00 | \$0.00 |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 | | | | | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1,000.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$0.00 | |
| SUBTOTAL = | | | | \$1,000.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$0.00 | |
| TOTAL NATIONAL FEE = | | | | \$1,000.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$1,000.00 | |
| | | | | Amount to be | \$ |
| | | | | Amount to be | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 06-1130 in the amount of \$1,000.00 to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-1130 . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: Customer No.: 23413 | | | | | |
| | | | |  SIGNATURE Daniel P. Lent NAME 44,867 REGISTRATION NUMBER | |
| Date: September 23, 2005 | | | | | |

10/550805

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Tominaga Koji et al.

PCT/PTO 29 SEP 2005

Fuj-0001

Application No.

Filing Date

Examiner

Customer No.

23413

Group Art Unit

Invention: METHOD FOR FORMING AN INSULATING FILM IN A SEMICONDUCTOR DEVICE

I hereby certify that the following correspondence:

Transmittal Letter to the U.S. Designated/Elected Office for a Submission Under 35 U.S.C. 371

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

September 23, 2005

(Date)

Patricia A. Hart

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EV543403345US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.